



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION 5
77 WEST JACKSON BOULEVARD
CHICAGO, IL 60604-3590

EPA Region 5 Records Ctr.



308986

REPLY TO THE ATTENTION OF:

SEP 23 2008

Texas Township Drum Site

PROMPT REPLY NECESSARY
CERTIFIED MAIL: RETURN RECEIPT REQUESTED

Mr. Don Haugen
c/o Michael B. Ortega
LEWIS REED & ALLEN P.C.
136 E. Michigan Avenue, Suite 800
Kalamazoo, MI 49007

Re: Request for Information Pursuant to Section 104 of CERCLA for the Texas
Township Drum Site in Kalamazoo, Michigan

Dear Mr. Haugen and Mr. Ortega:

This letter seeks your cooperation in providing information and documents relating to the contamination of the Texas Township Drum Superfund Site located at 10135 West Avenue, Kalamazoo, Kalamazoo County, Michigan ("Site"). A Superfund site is a site contaminated with high levels of hazardous substances that may present a threat to human health or the environment.

We encourage you to give this matter your immediate attention and request that you provide a complete and truthful response to the questions posed in this Information Request within fourteen days of your receipt of this letter.

The United States Environmental Protection Agency ("U.S. EPA") is investigating the release or threat of release of hazardous substances, pollutants, or contaminants at the Site. U.S. EPA is seeking to obtain information concerning the generation, storage, treatment, transportation, and methods used to dispose of such substances that have been, or threaten to be, released from the Site. U.S. EPA will study the effects of these substances on the environment and public health. In addition, U.S. EPA will identify activities, materials, and parties that contributed to contamination at the Site. U.S. EPA believes that you might have information which may assist the Agency in its investigation of the Site.

On or about August 20, 2008, a fire broke out in or around a pole barn located at the Site. Shortly thereafter, U.S. EPA inspected the Site. It observed more than 250 55-gallon drums that contained various hazardous materials and biological wastes. The drums were located in three areas within the Site – in the pole barn, staged along a trail

in a wooded area, and in a recently excavated pit. U.S. EPA is currently conducting an emergency removal action at the Site. The removal actions will include the following activities: securing the Site from intruders and trespassers; sampling and analyzing the contents of the drums and other containers in order to plan for the removal of the drums and containers; sampling and analysis of soils to determine the horizontal and vertical extent of soil contamination in the vicinity of the pole barn, the trail where drums were staged, and in the pit in which drums and other containers were placed; sampling and monitoring of air quality at the Site to ensure the safety of workers and the surrounding public; sampling and analysis of groundwater beneath and in the vicinity of the Site; consolidation of compatible wastes for off-site disposal; prepackaging and packing of containers into 55-gallon drums with compatible absorbent for off-site disposal; overpacking of leaking or damaged 55-gallon drums for off-site disposal; shipment of hazardous substances to a permitted treatment, storage or disposal facility for appropriate treatment or disposal; and removal and disposal of off-site contaminated soils.

Description of Legal Authority

The federal "Superfund" law, the Comprehensive Environmental Response, Compensation, and Liability Act, 42 U.S.C. §9601, et seq., commonly referred to as "CERCLA" and "Superfund," gives U.S. EPA the authority to, among other things: (1) assess contaminated sites, (2) determine the threats to human health and the environment posed by each site, and (3) clean up those sites in the order of the relative threats posed by each.

Information Request

Under Section 104(e)(2) of CERCLA, 42 U.S.C. §9604(e)(2), U.S. EPA has broad information gathering authority which allows U.S. EPA to require persons to furnish information or documents relating to:

- (A) The identification, nature, and quantity of materials which have been or are generated, treated, stored, or disposed of at a vessel or facility or transported to a vessel or facility.
- (B) The nature or extent of a release or threatened release of a hazardous substance or pollutant or contaminant at or from a vessel or facility.
- (C) Information relating to the ability of a person to pay for or to perform a cleanup.

While U.S. EPA seeks your cooperation in this investigation, compliance with the Information Request is required by law. Please note that false, fictitious, or fraudulent

statements or representations may subject you to civil or criminal penalties under federal law.

Some of the information U.S. EPA is requesting may be considered by you to be confidential. Please be aware that you may not withhold the information upon that basis. If you wish U.S. EPA to treat the information confidentially, you must advise U.S. EPA of that fact by following the procedures outlined in Attachment A, including the requirement for supporting your claim for confidentiality.

If you have information about other parties who may have information which may assist the Agency in its investigation of the Site or may be responsible for the contamination at the Site, that information should be submitted within the time frame noted above.

This Information Request is not subject to the approval requirements of the Paperwork Reduction Act of 1995, 44 U.S.C. §3501 et seq.

Instructions on how to respond to the questions in Attachment B to this document are described in Attachment A. Your response to this Information Request should be mailed to:

U.S. Environmental Protection Agency
Carol Ropski
Emergency Enforcement Services Section, SE-5J
77 West Jackson Boulevard
Chicago, Illinois 60604-3590

If you have additional questions about the history of the Site, the nature of the environmental conditions at the Site, or the status of cleanup activities, please contact Partap Lall at (734) 692-7685. However, if you have specific questions about the Information Request, please contact Carol Ropski at (312) 353-7647. Legal questions should be addressed to Steven Kaiser of the U.S. EPA Office of Regional Counsel at (312) 353-3804.

We appreciate and look forward to your prompt response to this Information Request.

Sincerely,



William D. Messenger, Chief
Emergency Enforcement Services Section

Enclosures

Attachment A
Information Request
to Don Haugen

Instructions

1. Answer Every Question Completely. A separate response must be made to each of the questions set forth in this Information Request. For each question contained in this letter, if information responsive to this Information Request is not in your possession, custody, or control, please identify the person(s) from whom such information may be obtained.
2. Number Each Answer. Precede each answer with the corresponding number of the question and the subpart to which it responds.
3. Provide the Best Information Available. Provide responses to the best of Respondent's ability, even if the information sought was never put down in writing or if the written documents are no longer available. You should seek out responsive information from current and former employees/agents. Submission of cursory responses when other responsive information is available to the Respondent will be considered non-compliance with this Information Request.
4. Identify Sources of Answer. For each question, identify (see Definitions) all the persons and documents that you relied on in producing your answer.
5. Continuing Obligation to Provide/Correct Information. If additional information or documents responsive to this Request become known or available to you after you respond to this Request, U.S. EPA hereby requests pursuant to Section 104(e) of CERCLA that you supplement your response to U.S. EPA.
6. Confidential Information. The information requested herein must be provided even though you may contend that it includes confidential information or trade secrets. You may assert a confidentiality claim covering part or all of the information requested, pursuant to Sections 104(e)(7)(E) and (F) of CERCLA, 42.U.S.C. §§9604(e)(7)(E) and (F), and Section 3007(b) of the Resource Conservation and Recovery Act ("RCRA"), 42 U.S.C. §6927(b), and 40 C.F.R. §2.203(b).

If you make a claim of confidentiality for any of the information you submit to U.S. EPA, you must prove that claim. For each document or response you claim confidential, you must separately address the following points:

1. the portions of the information alleged to be entitled to confidential treatment;
2. the period of time for which confidential treatment is desired (e.g., until a certain date, until the occurrence of a specific event, or permanently);
3. measures taken by you to guard against the undesired disclosure of the information to others;
4. the extent to which the information has been disclosed to others; and the precautions taken in connection therewith;
5. pertinent confidentiality determinations, if any, by U.S. EPA or other federal agencies, and a copy of any such determinations or reference to them, if available; and
6. whether you assert that disclosure of the information would likely result in substantial harmful effects on your business' competitive position, and if so, what those harmful effects would be, why they should be viewed as substantial, and an explanation of the causal relationship between disclosure and such harmful effects.

To make a confidentiality claim, please stamp or type "confidential" on all confidential responses and any related confidential documents. Confidential portions of otherwise nonconfidential documents should be clearly identified. You should indicate a date, if any, after which the information need no longer be treated as confidential. Please submit your response so that all non-confidential information, including any redacted versions of documents, is in one envelope and all materials for which you desire confidential treatment are in another envelope.

All confidentiality claims are subject to U.S. EPA verification. It is important that you satisfactorily show that you have taken reasonable measures to protect the confidentiality of the information and that you intend to continue to do so, and that it is not and has not been obtainable by legitimate means without your consent. Information covered by such claim will be disclosed by U.S. EPA only to the extent permitted by Section 104(e) of CERCLA. If no such claim accompanies the information when it is received by U.S. EPA, then it may be made available to the public by U.S. EPA without further notice to you.

7. Disclosure to U.S. EPA Contractor. Information which you submit in response to this Information Request may be disclosed by U.S. EPA to authorized representatives of the United States, pursuant to 40 C.F.R. '2.310(h), even if you assert that all or

part of it is confidential business information. Please be advised that U.S. EPA may disclose all responses to this Information Request to one or more of its private contractors for the purpose of organizing and/or analyzing the information contained in the responses to this Information Request. If you are submitting information which you assert is entitled to treatment as confidential business information, you may comment on this intended disclosure within fourteen days of receiving this Information Request.

8. Personal Privacy Information. Personnel and medical files, and similar files, the disclosure of which to the general public may constitute an invasion of privacy, should be segregated from your responses, included on separate sheet(s), and marked as "Personal Privacy Information."

9. Objections to Questions. If you have objections to some or all the questions within the Information Request letter, you are still required to respond to each of the questions.

Definitions

The following definitions shall apply to the following words as they appear in this Information Request.

1. The term "**arrangement**" means every separate contract or other agreement between two or more persons, whether written or oral.
2. The term "**documents**" includes any written, recorded, computer-generated, or visually or aurally reproduced material of any kind in any medium in your possession, custody, or control, or known by you to exist, including originals, all prior drafts, and all non-identical copies.
3. The term "**hazardous substance**" shall have the same definition as that contained in Section 101(14) of CERCLA, and includes any mixtures of such hazardous substances with any other substances, including mixtures of hazardous substances with petroleum products or other nonhazardous substances.
4. The term "**identify**" means, with respect to a natural person, to set forth: (a) the person's full name; (b) present or last known business and home addresses and telephone numbers; (c) present or last known employer (include full name and address) with title, position or business.
5. With respect to a corporation, partnership, or other business entity (including a sole proprietorship), the term "**identify**" means to provide its full name, address, and affiliation with the individual and/or company to whom/which this request is addressed.

6. The term "**material**" or "**materials**" shall mean any and all objects, goods, substances, or matter of any kind, including but not limited to wastes.
7. The term "**person**" shall include any individual, firm, unincorporated association, partnership, corporation, trust, or other entity.
8. The term "**pollutant or contaminant**" shall include, but not be limited to, any element, substance, compound, or mixture, including disease-causing agents, which after release into the environment will or may reasonably be anticipated to cause death, disease, behavioral abnormalities, cancer, genetic mutation, physiological malfunctions (including malfunctions in reproduction) or physical deformations; except that the term "pollutant or contaminant" shall not include petroleum.
9. The term "**real estate**" shall mean and include, but not be limited to the following: land, buildings, a house, dwelling place, condominium, cooperative apartment, office or commercial building, including those located outside the United States.
10. The term "**release**" shall mean any spilling, leaking, pumping, pouring, emitting, emptying, discharging, injecting, escaping, leaching, dumping, or disposing into the environment, including the abandonment or discharging of barrels, containers, and other closed receptacles containing any hazardous substance or pollutant or contaminant.
11. The term "**Site**" shall mean the Texas Township Superfund Site located at 10135 West Avenue in Kalamazoo, Kalamazoo County, Michigan.
12. The term "**waste**" or "**wastes**" shall mean and include trash, garbage, refuse, by-products, solid waste, hazardous waste, hazardous substances, and pollutants or contaminants, whether solid, liquid, or sludge, including but not limited to containers for temporary or permanent holding of such wastes.
13. The term "**you**" or "**Respondent**" shall mean Don Haugen

Attachment B Requests

1. **Identify all persons** consulted in the preparation of the answers to these Information Requests.
2. Identify all **documents** consulted, examined, or referred to in the preparation of the answers to these Requests, and provide copies of all such documents.
3. If **you** have reason to believe that there may be persons able to provide a more detailed or complete response to any Information Request or who may be able to provide additional responsive documents, identify such persons.
4. List the EPA Identification Numbers of the **Respondent**.
5. Identify the acts or omissions of any persons, other than your employees, contractors, or agents, that may have caused the **release** or threat of release of **hazardous substances, pollutants, or contaminants**, and damages resulting therefrom at the Site.
6. Identify all persons having knowledge or information about the generation, transportation, treatment, disposal, or other handling of hazardous substances by you, your contractors, or by prior owners and/operators in, at or around the Site.
7. Did you ever use, purchase, store, treat, dispose, transport or otherwise handle any hazardous substances or **materials** in, at or around the Site? If the answer to the preceding question is anything but an unqualified "no", identify:
 - a) The chemical composition, characteristics, physical state (e.g., solid, liquid) of each hazardous substance;
 - b) The person who supplied you with such hazardous substances;
 - c) How such hazardous substances were used, purchased, generated, stored, treated, transported, disposed, or otherwise handled by you;
 - d) When such hazardous substances were used, purchased, generated, stored, treated, transported, disposed, or otherwise handled by you;
 - e) Where such hazardous substances were used, purchased, generated, stored, treated, transported, disposed, or otherwise handled by you; and

- f) The quantity of such hazardous substances used, purchased, generated, stored, treated, transported, disposed or otherwise handled by you.
- 8. Provide a list of all property and casualty insurance (e.g., comprehensive general liability, environmental impairment, etc.) and specify the insurer, policy, effective dates, and per occurrence policy limits for each policy for the time period specified in this Information Request. In lieu of providing this information, you may submit complete copies of all relevant insurance policies.
- 9. Provide copies of all income tax returns sent to the Federal Internal Revenue Service in the last five years.
- 10. If Respondent is a Corporation, respond to the following requests:
 - a) Provide a copy of the Articles of Incorporation and By-Laws of the Respondent.
 - b) Provide Respondent's audited financial statements for the past five fiscal years, including, but not limited to those filed with the Internal Revenue Service. If audited financial statements are not available, please state the reasons that they are not available, and provide the financial statements that management would review at the conclusion of each fiscal year.
 - c) Identify all of Respondent's current assets and liabilities and the persons who currently own or are responsible for such assets and liabilities.
 - d) Provide a list of any investments that the Corporation may own. For example, any ownership in stock should list Corporate name, number of shares owned, and price at a current specific date. Ownership of **real estate** should itemize property location, type of property (land, office building, factory, etc.), size of property, purchase price, and current market valuation. These schedules should agree with financial statement presentations.
- 11. If Respondent is a Partnership, provide copies of the Partnership Agreement.
- 12. If Respondent is a Trust, provide all relevant agreements and documents to support this claim.
- 13. Complete and return the attached document "Statement of Financial Affairs for Individuals".

14. Describe the nature of your activities or business at the Site, with respect to purchasing, receiving, processing, storing, treating, disposing, or otherwise handling hazardous substances or materials at the Site.

15. State the dates during which you owned, operated, or leased the Site, and provide copies of all documents evidencing or relating to such ownership, operation, or lease **arrangement** (e.g., deeds, leases, etc.).

16. Provide information about the Site, including but not limited to the following:

- a) Property boundaries, including a written legal description;
- b) Location of underground utilities (telephone, electrical, sewer, water main, etc.);
- c) Surface structures (e.g., buildings, tanks, etc.);
- d) Ground water wells, including drilling logs;
- e) Storm water drainage system, and sanitary sewer system, past and present, including septic tank(s), subsurface disposal field(s), and other underground structures; and where, when and how such systems are emptied;
- f) Any and all additions, demolitions, or changes of any kind on, under, or about the Site, to its physical structures, or to the property itself (e.g., excavation work); and any planned additions, demolitions, or other changes to the Site; and
- g) All maps and drawings of the Site in your possession.

17. Identify all past and present solid waste units (e.g., waste piles, landfills, surface impoundments, waste lagoons, waste ponds or pits, tanks, container storage areas, etc.) on the Site. For each such solid waste unit identified, provide the following information:

- a) A map showing the unit's boundaries and the location of all known solid waste units whether currently in operation or not. This map should be drawn to scale, if possible, and clearly indicate the location and size of all past and present units;
- b) The type of unit (e.g., storage area, landfill, waste pile, etc.), and the dimensions of the unit;

- c) The dates that the unit was in use;
 - d) The purpose and past usage (e.g., storage, spill containment, etc.);
 - e) The quantity and types of materials (hazardous substances and any other chemicals) located in each unit;
 - f) The construction (materials, composition), volume, size, dates of cleaning, and condition of each unit; and,
 - g) If unit is no longer in use, how was such unit closed and what actions were taken to prevent or address potential or actual releases of waste constituents from the unit.
18. Identify the prior owners of the Site. For each prior owner, further identify:
- a) The dates of ownership;
 - b) All evidence showing that they controlled access to the Site; and
 - c) All evidence that a hazardous substance, pollutant, or contaminant was released or threatened to be released at the Site during the period that they owned the Site.
19. Identify the prior operators, including lessors, of the Site. For each such operator, further identify:
- a) The dates of operation;
 - b) The nature of prior operations at the Site;
 - c) All evidence that they controlled access to the Site; and
 - d) All evidence that a hazardous substance, pollutant, or contaminant was released or threatened to be released at or from the Site and/or its solid waste units during the period that they were operating the Site.
20. Provide copies of all local, state, and federal environmental permits ever granted for a facility or any part thereof (e.g., RCRA permits, NPDES permits, etc.) located within the Site.
21. Did a facility located within the Site ever have "interim status" under RCRA? If so, and the facility does not currently have interim status, describe the circumstances under which the facility lost interim status.

22. Did any facility located within the Site ever file a notification of hazardous waste activity under RCRA? If so, provide a copy of such notification.
23. Provide all reports, information, or data related to soil, water (ground and surface), or air quality and geology/hydrogeology at and about the Site. Provide copies of all documents containing such data and information, including both past and current aerial photographs as well as documents containing analysis or interpretation of such data.
24. Are you or your consultants planning to perform any investigations of the soil, water (ground or surface), geology, hydrology, or air quality on or about the Site? If so, identify:
- a) What the nature and scope of these investigations will be;
 - b) The contractors or other persons that will undertake these investigations;
 - c) The purpose of the investigations;
 - d) The dates when such investigations will take place and be completed; and
 - e) Where on the Site such investigations will take place.
25. Identify all leaks, spills, or releases into the environment of any hazardous substances, pollutants, or contaminants that have occurred at or from the Site. In addition, identify:
- a) When such releases occurred;
 - b) How the releases occurred;
 - c) The amount of each hazardous substances, pollutants, or contaminants so released;
 - d) Where such releases occurred;
 - e) Any and all activities undertaken in response to each such release or threatened release, including the notification of any agencies or governmental units about the release.
 - f) Any and all investigations of the circumstances, nature, extent or location of each release or threatened release including, the results of any soil, water (ground and surface), or air testing undertaken; and

- g) All persons with information relating to these releases.

26. Was there ever a spill, leak, release or discharge of hazardous materials into any subsurface disposal system or floor drain inside or under the pole barn building located within the Site? If the answer to the preceding question is anything but an unqualified "no," identify:

- a) Where the disposal system or floor drains were located;
- b) When the disposal system or floor drains were installed;
- c) Whether the disposal system or floor drains were connected to pipes;
- d) Where such pipes were located and emptied;
- e) When such pipes were installed;
- f) How and when such pipes were replaced, or repaired; and
- g) Whether such pipes ever leaked or in any way released hazardous materials into the environment.

27. Did any leaks, spills, or releases of hazardous materials occur on the Site when hazardous substances or hazardous materials were being:

- a) Delivered by a vendor;
- b) Stored (e.g., in any tanks, drums, or barrels);
- c) Transported or transferred (e.g., to or from any tanks, drums, barrels, or recovery units); or
- d) Treated.

28. Has soil ever been excavated or removed from the Site? Unless the answer to the preceding question is anything besides an unequivocal "no," identify:

- a) Amount of soil excavated;
- b) Location of excavation;
- c) Manner and place of disposal and/or storage of excavated soil;

- d) Dates of soil excavation;
- e) Identity of persons who excavated or removed the soil;
- f) Reason for soil excavation;
- g) Whether the excavation or removed soil contained hazardous materials and why the soil contained such materials;
- h) All analyses or tests and results of analyses of the soil that was removed from the Site;
- i) All persons, including contractors, with information about (a) through (h) of this request.



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

REGION 5
77 WEST JACKSON BOULEVARD
CHICAGO, IL 60604-3590

[OCTOBER 1999 VERSION]

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS*

Please complete the attached form. It is designed to assist you in preparing a complete statement of your financial affairs.

Each question should be answered. Questions to which your response is "none" or "not applicable" should be answered using those words.

For your convenience, the form is divided into the following sections:

	<u>Section</u>	<u>Page No.</u>	<u>Question No.</u>
I.	GENERAL BACKGROUND INFORMATION	2	1 to 8
II.	EMPLOYMENT/OCCUPATION		
	A. RESPONDENT	3	9 to 12
	B. SPOUSE	4	13 to 16
III.	INCOME INFORMATION	5	17
IV.	EXPENSE INFORMATION	6	18
V.	SCHEDULE OF ASSETS	7	19
	A. REAL ESTATE	7	
	B. CASH & CASH EQUIVALENTS	8	
	C. SAFE DEPOSIT BOXES	8	
	D. STOCKS, BONDS, NOTES, MUTUAL FUNDS, OPTIONS	9	
	E. NOTES & ACCOUNTS RECEIVABLE	9	
	F. ANNUITIES, DEFERRED COMPENSATION, ETC.	10	
	G. PROFIT SHARING AND OTHER RETIREMENT ACCOUNTS	10	
	H. LIFE INSURANCE	11	
	I. PARTNERSHIPS AND OTHER BUSINESS INTERESTS	11	
	J. PERSONAL ITEMS, ETC.	12	
	K. VEHICLES, BOATS, TRAILERS	12	
	L. OTHER ASSETS	13	
VI.	SCHEDULE OF LIABILITIES	14	20
	A. LOANS - UNSECURED	14	
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* This information is requested pursuant to Section 104(e) of the Comprehensive Environmental Response, Compensation, and Liability Act, 42 U.S.C. ' 9604, and is not subject to approval of the Paperwork Reduction Act of 1980, 44 U.S.C. ' 3501, et seq.

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS

I. GENERAL BACKGROUND INFORMATION

1. Name:
2. Social Security Number:
3. Date of Birth (month/day/year):
4. Home Address:

5. Home Phone Number:
6. Marital Status (check one of the following):
Married ____ Single ____ Separated ____ Divorced
7. A. If Married, Full Name Of Spouse:
B. Address of Spouse (if different than 4.):

C. Spouse's Phone Number: _____

D. Spouse's Social Security No: _____

E. Spouse's Date of Birth (month/day/year):

8. Dependents Supported by Respondent (indicate if full-time student):

<u>Name</u>	<u>Relationship</u>	<u>Age</u>	<u>Gross Monthly Income</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS
(Continued)

II. EMPLOYMENT/OCCUPATION INFORMATION - RESPONDENT

9. A. The respondent is employed by (name, address, and phone number of employer):

- B. The occupation (nature of position) is: _____

10. A. The respondent is self-employed as (nature of business or profession):

- B. Business address and phone number:

11. Number of years engaged in the current trade or profession:

12. Previous Employers (within the last five years):

	<u>Employer's Name/ Address & Phone No.</u>	<u>Your Title/ Position</u>	<u>Dates of Employment</u>
a.	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
b.	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
c.	_____	_____	_____
	_____	_____	_____
	_____	_____	_____

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS
(Continued)

II. EMPLOYMENT/OCCUPATION INFORMATION - SPOUSE

13. A. The respondent's spouse is employed by (name, address, and phone number of employer):

- B. The occupation (nature of position) is: _____

14. A. The respondent's spouse is self-employed as (nature of business or profession):

- B. Business address and phone number:

15. Number of years engaged in the current trade or profession:

16. Spouse's Previous Employers (within the last five years):

	<u>Employer's Name/ Address & Phone No.</u>	<u>Your Title/ Position</u>	<u>Dates of Employment</u>
a.	_____ _____ _____	_____ _____ _____	_____ _____ _____
b.	_____ _____ _____	_____ _____ _____	_____ _____ _____
c.	_____ _____ _____	_____ _____ _____	_____ _____ _____

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS
(Continued)

III. INCOME INFORMATION

17. The following represents the estimated average monthly income received over the past twelve months by the respondent, spouse, and dependents^(1,2):

	<u>RESPONDENT</u>	<u>SPOUSE</u>	<u>JOINT</u>	<u>DEPENDENT⁽³⁾</u>	<u>TOTAL</u>
A) GROSS SALARY	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
B) COMMISSIONS	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
C) BONUSES	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
D) OVERTIME	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
E) RETIREMENT INCOME ⁽⁴⁾	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
F) SOCIAL SECURITY	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
G) DISABILITY/SEVERANCES	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
H) DIVIDENDS	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
I) INTEREST ⁽⁵⁾	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
J) ROYALTIES & ANNUITIES	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
K) PARTNERSHIP INCOME	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
L) ESTATES & TRUSTS	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
M) RENTALS (specify)	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
N) BUSINESS (specify)	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
O) SUPPORT (specify)	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
P) OTHER (specify)	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
Q) TOTAL	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____

Note:

1. IF A CHANGE IN INCOME IS ANTICIPATED IN THE NEAR FUTURE, DESCRIBE ON A SEPARATE SHEET AND ATTACH.
2. IF ADDITIONAL INCOME IS EXPECTED (SUCH AS A TAX REFUND), DESCRIBE ON A SEPARATE SHEET AND ATTACH.
3. FOR EACH ITEM OF INCOME, PLEASE STATE THE DEPENDENT TO WHOM IT RELATES.
4. THIS INCLUDES PENSIONS, PROFIT-SHARING, IRA'S, KEOGH'S, 401(K)'S AND OTHER RETIREMENT INCOME.
5. THIS INCLUDES TAX-EXEMPT AS WELL AS TAXABLE INTEREST.

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS
(Continued)

IV. EXPENSE INFORMATION

18. The following represents the estimated average current monthly expenditures made over the past twelve months by the respondent, spouse and dependents ⁽¹⁾:

	<u>RESPONDENT</u>	<u>SPOUSE</u>	<u>JOINT</u>	<u>DEPENDENT</u>	<u>TOTAL</u>
A) MORTGAGE (or RENT)	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
B) PROPERTY TAXES	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
C) PROPERTY INSURANCE	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
D) MEDICAL AND DENTAL	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
E) INSURANCE (specify)	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
F) CHILD CARE	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
G) EDUCATION	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
H) INSTALLMENT PAYMENT ⁽²⁾ (Loans, car payments, credit cards, etc.)	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
I) OTHER (specify)	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
J) TOTAL	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____

Note:

1. If a change in expenses is anticipated in the near future, describe on a separate sheet and attach.
2. Detail the lender, account number, balance, and payments on a separate sheet and attach (See pages 14-15).

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS

(Continued)

V. SCHEDULE OF ASSETS

19. List all assets. Include assets even if they are in the possession of another person, including your spouse. Put H (Husband), W (Wife), or J (Joint) in the first column (H/W/J) to indicate to whom it belongs. If the respondent owns the asset jointly with another individual or entity, other than the spouse, indicate the name, address, phone no., and taxpayer identification number of the other joint tenant(s).

All values should be as of the date this statement is completed unless a different valuation date is specified in the description. If additional space is required, use a continuation sheet.

To the extent available, **copies of related documents**, including but not limited to: monthly statements; deeds; deeds of trust; insurance policies; certificates of deposit; agreements; business and personal financial statements; personal, corporate, and partnership tax returns; appraisals; and determinations of fair market values **should also be provided**.

A. REAL ESTATE

<u>ASSETS - DESCRIPTION</u>	<u>H/W/J</u>	<u>DATE</u>	<u>CURRENT</u>	<u>ASSESSED</u>	<u>AMOUNT</u>		
		<u>IN NAME OF</u>	<u>ACQUIRED</u>	<u>COST</u>	<u>MARKET VALUE</u>	<u>VALUE</u>	<u>OWED</u>

Description/Address

(1)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------	----------

(2)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------	----------

(3)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------	----------

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS
(Continued)

V. **SCHEDULE OF ASSETS (continued)**

B. **CASH & CASH EQUIVALENTS**

Type: Savings, checking, credit union, brokerage, other deposit accounts, etc. (Attach copy of latest statement)

<u>ASSETS - DESCRIPTION</u>	<u>H/W/J</u>	<u>IN NAME OF</u>	<u>OPENED</u>	<u>CURRENT COST</u>	<u>MARKET VALUE</u>	<u>AMOUNT PLEDGED</u>
<u>Account: Description/Number/Depository/Location</u>						
(1)						
_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
(2)						
_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
(3)						
_____	_____	_____	_____	\$ _____	\$ _____	\$ _____

C. **SAFE DEPOSIT BOXES**

List the contents of each safe deposit box and the current market value and owner of each asset on an attached sheet.

Box: Name/Number/Depository/Location

(1)						
_____	_____	_____	_____	\$ _____	\$ _____	\$ _____

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS

(Continued)

V. **SCHEDULE OF ASSETS (continued)**

D. **STOCKS, BONDS, NOTES, MUTUAL FUNDS, OPTIONS**

Include certificate numbers and **attach copy of the certificates and the latest statements.**

<u>ASSETS - DESCRIPTION</u>	<u>H/W/J</u>	<u>IN NAME OF</u>	<u>DATE OPENED</u>	<u>CURRENT COST</u>	<u>MARKET VALUE</u>	<u>AMOUNT PLEDGED</u>
<u>Account: Name/Number/Broker/Location</u>						
(1)						
_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
(2)						
_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
(3)						
_____	_____	_____	_____	\$ _____	\$ _____	\$ _____

E. **NOTES AND ACCOUNTS RECEIVABLE**

Describe: Name of Debtor/Address/Phone No./Description - **Attach copy of documents evidencing each receivable.**

_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	----------	----------	----------

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS

(Continued)

V. SCHEDULE OF ASSETS (continued)

F. ANNUITIES, DEFERRED COMPENSATION, ETC.

<u>ASSETS - DESCRIPTION</u>	<u>H/W/J</u>	<u>IN NAME OF</u>	<u>DATE OPENED</u>	<u>CURRENT COST</u>	<u>MARKET VALUE</u>	<u>AMOUNT PLEDGED</u>
------------------------------------	---------------------	--------------------------	-------------------------------	--------------------------------	----------------------------	----------------------------------

Describe: Name/Number/Description/Location - Attach copy of latest statements.

(1)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

(2)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

(3)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

G. PENSIONS, PROFIT SHARING, IRA'S, KEOGH'S, AND OTHER RETIREMENT ACCOUNTS

Describe: Name/Description/Location - Attach copy of last summary plan descriptions, plan documents, and benefit statements.

(1)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

(2)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS

(Continued)

V. SCHEDULE OF ASSETS (continued)

H. LIFE INSURANCE (with cash surrender or loan value).

<u>ASSETS - DESCRIPTION</u>	<u>H/W/J</u>	<u>INSURED</u>	<u>DATE ACQUIRED</u>	<u>FACE VALUE</u>	<u>VALUE</u>	<u>VALUE</u>	<u>LOANS</u>
-----------------------------	--------------	----------------	----------------------	-------------------	--------------	--------------	--------------

Describe: Insurance Co./Address/Phone No./Policy No. - Attach copy of declaration page for each policy.

(1)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

(2)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

**I. PARTNERSHIPS AND OTHER BUSINESS INTERESTS
FAMILY CORPORATIONS/BUSINESSES**

<u>ASSETS - DESCRIPTION</u>	<u>H/W/J</u>	<u>TYPE OF BUSINESS</u>	<u>DATE ACQUIRED</u>	<u>BASIS OR COST</u>	<u>CURRENT MARKET VALUE</u>	<u>AMOUNT PLEDGED</u>
-----------------------------	--------------	-------------------------	----------------------	----------------------	-----------------------------	-----------------------

Describe: Name/Taxpayer Identification No./Address/Phone No. - Attach copy of most recent tax return(s).

(1)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

(2)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS
(Continued)

V. **SCHEDULE OF ASSETS** (continued)

J. **JEWELRY, FURS, ANTIQUES, ART, COIN COLLECTIONS, ETC. with value in excess of \$2,000.**

<u>ASSETS - DESCRIPTION</u>	<u>H/W/J</u>	<u>OWNER</u>	<u>DATE ACQUIRED</u>	<u>CURRENT COST</u>	<u>MARKET VALUE</u>	<u>AMOUNT PLEDGED</u>
------------------------------------	---------------------	---------------------	---------------------------------	--------------------------------	----------------------------	----------------------------------

Describe: Item /Location - Attach copy of appraisals.

(1)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

(2)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

K. **VEHICLES, BOATS, TRAILERS, ETC. with value in excess of \$2,000.**

Describe: Description/Identification No./Location - Attach copy of title documents.

(1)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

(2)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS

(Continued)

V. SCHEDULE OF ASSETS (continued)

L. OTHER ASSETS INCLUDING INTERESTS IN TRUSTS, TANGIBLE/INTANGIBLE PROPERTY

<u>ASSETS - DESCRIPTION</u>	<u>H/W/J</u>	<u>OWNER</u>	<u>DATE ACQUIRED</u>	<u>CURRENT COST</u>	<u>MARKET VALUE</u>	<u>AMOUNT PLEDGED</u>
------------------------------------	---------------------	---------------------	---------------------------------	--------------------------------	----------------------------	----------------------------------

Describe: Name/Description/Location - Attach copy of appropriate documents.

(1)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

(2)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS
(Continued)

VI. SCHEDULE OF LIABILITIES

20. List all known liabilities. Put H (Husband), W (Wife), or J (Joint) in the first column to indicate the debtor.

All debts should be as of the date the statement is completed unless a different date is specified in the description. For additional space, use a continuation sheet.

To the extent available, **copies of related documents**, including but not limited to: deeds of trust; agreements; notes and other evidences of indebtedness; and business and personal financial statements **should be provided**.

A. LOANS - UNSECURED

<u>LIABILITY - DESCRIPTION</u>	<u>H/W/J</u>	<u>IN NAME OF</u>	<u>DATE INCURRED</u>	<u>CURRENT CREDITOR</u>	<u>ORIGINAL BALANCE</u>	<u>AMOUNT</u>
(1)						
_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
(2)						
_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
(3)						
_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
(4)						
_____	_____	_____	_____	\$ _____	\$ _____	\$ _____

Provide: Creditor Name or Bank Name/Loan No./Purpose/Term/Interest Rate - **Attach copy of latest statement**.

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS

(Continued)

VI. SCHEDULE OF LIABILITIES (continued)

B. LOANS - SECURED

<u>LIABILITY - DESCRIPTION</u>	<u>H/W/J</u>	<u>DATE</u> <u>IN NAME OF</u>	<u>CURRENT</u> <u>INCURRED</u>	<u>ORIGINAL</u> <u>CREDITOR</u>	<u>BALANCE</u>	<u>AMOUNT</u>
--------------------------------	--------------	----------------------------------	-----------------------------------	------------------------------------	----------------	---------------

Provide: Creditor Name or Bank Name/Loan No./Security/Purpose/Term/Interest Rate - **Attach copy of latest statement.**

(1)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

(2)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

(3)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

(4)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

C. SUPPORT PAYMENTS; OTHER DEBTS (specify)

Provide Description - **Attach copy of orders and statements.**

(1)

_____	_____	_____	_____	\$ _____	\$ _____	\$ _____
-------	-------	-------	-------	----------	----------	----------

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS

(Continued)

VII. **OTHER MATTERS**

21. List all transfers (in excess of \$2,000) of real and personal property, including cash, (by loan, gift, sale, etc.) that you have made in the past five years. Placing property into joint name may be considered a transfer (either complete or incomplete) to the extent you have provided a portion of the consideration which should have otherwise been contributed by the other joint tenant(s).
22. List all real and personal property (with market value in excess of \$5,000) owned by your spouse and dependents.
23. Are you a Trustee, Executor, or Administrator? _____ Provide details. (**Attach copies of documents**).

STATEMENT OF FINANCIAL AFFAIRS - INDIVIDUALS

(Continued)

VII. OTHER MATTERS (continued)

24. Is any person or entity holding real or personal property on your behalf? _____ Provide details. (**Attach copies of documents**)
25. Do you expect to receive an inheritance or benefits from any established trust, claim for compensation for damages, or a contingent or future interest in property? _____ Provide details. (**Attach copies of documents**).
26. **Attach copies of all** statements used to obtain credit for the past five years.
27. **Attach copies of all** federal and state income tax return forms, including all schedules and attachments filed for the past five years. In addition, supply any and all income tax audits or audit adjustments for the same period.
28. **Attach copies of all** personal audited financial statements for the past five years.
29. **Attach copies of all** financial records which clearly show the financial position and the financial status of businesses which you own privately or in partnership.
30. CERTIFICATION:

UNDER PENALTIES OF PERJURY, I DECLARE THAT TO THE BEST OF MY KNOWLEDGE AND BELIEF, THIS STATEMENT OF ASSETS
LIABILITIES, AND OTHER INFORMATION IS TRUE, CORRECT, AND
COMPLETE.

Signature

Date